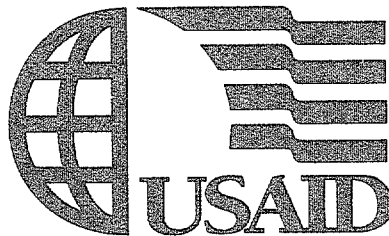


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Office of Administrative Services
Information Support Services Division



RE-ENGINEERING
THE
USAID DIRECTIVES SYSTEM
(First Step Towards Change)

November 29, 1993

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Attachment A: Samples of Proposed Table of Contents

Attachment B: Current Listing of Handbooks and Author Responsibilities
by Function Area

EXECUTIVE SUMMARY

INTRODUCTION:

This proposal recommends re-engineering the USAID Directives System to reduce the amount of Agency directives, to remove excess regulations and detailed direction and to clearly define USAID policies and procedures. To do this the current directives system must be re-engineered to remove unnecessary internal regulations; to improve and streamline the administrative processes; to clearly define responsibilities and to clearly delineate policy from procedure.

BACKGROUND:

USAID issues a series of 33 Handbooks under its current Directives System. These handbooks contain over 10,000 pages, 700 chapters and 2000 pages of graphic material. The handbooks contain intermingled policy, procedure, regulations, and guidance on all aspects of USAID operations which has been confusing to the users of the system for a number of years.

The current series has suffered much criticism in terms of its lack of clear, concise direction; poorly written, out of date information; and the sheer volume of material.

The first step to improving the system was the conversion of paper to CD-ROM. The office of Administrative Services initiated the process and worked jointly with the Office of Information Resource Management to provide the first disk containing the 33 handbooks (as is). Quarterly updates will be sent to USAID Washington and overseas offices providing faster access and retrievability of handbook information. Also, information can be printed in WordPerfect format for those who need it. CD-Readers were also purchased for USAID Washington offices and missions who need them until the CDs are available via USAID Local/Wide Area Network.

This initiative is expected to save approximately \$300,000 in printing, mailing, and storage costs. As of April 1994, no handbooks will be printed in paper form. Also, subscriptions for CD-ROM disks can be ordered from the Agency at a nominal cost.

The next step in the process of re-engineering the Directives System was to redesign the format and the numerical coding system. Other systems were reviewed to develop a clear and user friendly format for writing directive policy and streamlining the process. We studied the Forest Service, U.S. Department of Army Directives Systems, and several examples of format structures from a few offices within USAID. In addition, we attended a conference on the reformation of the Directives Systems for the Federal Government. We are offering the following proposals (with options) for consideration.

o PROPOSAL 1: Eliminate the current format, numerical coding system, and directives structure which includes intermingled policies, procedures, and regulations e.g. FAMs, FAR, AIDAR and FIRM. Implement a new system which separates policy from procedures by the new functional areas. These functional areas are: 1) Organization and Executive Management, 2) Program and Project Assistance, 3) Procurement and Contracts, 4) Personnel, and 5) Management Services. These policies and procedures will be in separate books. In addition, external regulations will not be included within the USAID policies and procedures publications. This will immediately reduce the volume and complexity of finding information quickly.

OPTION 1A

Tier 1 USAID Policy: A Functional Directives System which contains only USAID Policy.

Tier 1

USAID POLICY

Tier 2 USAID Essential Procedures: A Functional Directives System which contains only Essential "Mandatory" Procedures to carry out USAID Policy.

Tier 2

USAID ESSENTIAL PROCEDURES

Tier 3 USAID Optional Guidelines: Reference material, "How To" guidance. "Optional" to give the requiring office a vehicle by which to provide more detailed, helpful instruction.

Tier 3

USAID OPTIONAL GUIDELINES

OPTION 1B

Tier 1 USAID Policy and Essential Procedures: A Functional Directives System which contains USAID Policy and Essential "Mandatory" Procedures to carry out USAID Policy.

Tier 1

**USAID POLICY AND ESSENTIAL
PROCEDURES**

Tier 2 USAID Optional Guidelines: Reference material, "How To" guidance.

Tier 2

**USAID OPTIONAL
GUIDELINES**

OPTION 1C

Tier 1 USAID Policy: A Functional Directives System which contains only USAID Policy.

Tier 1

USAID POLICY

Tier 2 USAID Essential Procedures and Guidelines: A Functional Directives System which contains USAID Essential "Mandatory" Procedures to carry out USAID Policy and offer more detail guidance, "How To" on the essential procedures.

Tier 2

**ESSENTIAL PROCEDURES
and GUIDELINES**

o **PROPOSAL 2:** Eliminate the current numeric system and adapt a simpler, uniform, and standard numeric coding system for USAID policy and procedure.

OPTION 2A: NUMERIC CODING I

In this example the Policy and Essential Procedures would be arranged as follows:

NUMERIC CODING SYSTEM			
OPTION 2A			
The Policies would be arranged as follows:		The Essential Procedures Series would be arranged as follows:	
1	Major Function Title	0.1	Major Function Title
1.1	Sub-Function	0.1.1	Sub-Function
1.1.1	Authority	0.1.1.1	Authority
1.1.2	Objective	0.1.1.2	Objective
1.1.3	Responsibility	0.1.1.3	Responsibilities
1.1.4	Definitions	0.1.1.4	Definitions
1.1.5	Policy Section (Heading)	0.1.1.5	Essential Procedures
1.1.5.1	Policy Title	0.1.1.5.1	Subject Title
1.1.5.1-1	Policy # 1	0.1.1.5.1-1	Chapter 1
1.1.5.1-2	Policy # 2	0.1.1.5.1-2	Chapter 2
		0.1.1.5.1-2.1	Sub-paragraph in Chapter 2
		0.1.1.5.1-2.2	Sub-paragraph 2 in Chapter 2

OPTION 2B: NUMERIC CODING II

In this example the Policy and Essential Procedures would be arranged as follows:

NUMERIC CODING II	
OPTION 2B	
The Policies would be arranged as follows:	The Essential Procedures Series would be arranged as follows:
100 Major Function Title	E100 Major Function Title
101 Sub-Function	E101 Sub-Function
101.1 Authority	E101.1 Authority
101.2 Objective	E101.2 Objective
101.3 Responsibility	E101.3 Responsibilities
101.4 Definitions	E101.4 Definitions
101.5 Policy Section (Heading)	E101.5 Essential Procedures
101.5.1 Policy Title	E101.5.1 Subject Title
101.5.1-1 Policy # 1	E101.5.1-1 Chapter 1
101.5.1-2 Policy # 2	E101.5.1-2 Chapter 2
	E101.5.1-2.1 Sub-paragraph in Chapter 2
	E101.5.1-2.2 Sub-paragraph 2 in Chapter 2
	E101.5.1-2.3 Sub-paragraph 3 in Chapter 2

RECOMMENDATION:

We believe Option 1A for the format and Option 2B for the numeric coding systems will meet the goal of giving agency employees the tools needed to do their jobs through easier access to information; clearer policy direction; and readily available technical expertise.

RE-ENGINEERING THE DIRECTIVES SYSTEM FOR USAID

PROPOSAL STATEMENT

This proposal recommends re-engineering the USAID Directives System to reduce the amount of Agency directives, to remove excess regulations and detailed direction and to clearly define the Agency policies and procedures. To do this the current directives system must be re-engineered to remove unnecessary internal regulations; to improve and streamline the administrative processes; to clearly define responsibilities and to clearly delineate policy from procedure.

WHY RE-ENGINEER?

- o Current directives are poorly written and confusing to read.
- o Material is significantly out of date.
- o Policy is not clearly defined or easily located throughout 33 Handbooks.
- o Material is redundant throughout the Handbook series.
- o The functional structure of the Handbook series is inadequate.
- o The direction of Agency demands and guidance is not clearly defined or succinct.
- o Agency policy is mixed throughout approximately 700 chapters.

BACKGROUND

USAID issues a series of 33 Handbooks under its current Directives System. These handbooks contain over 10,000 pages, 700 chapters, and 2000 pages of graphic material. These handbooks contain intermingled policy, procedure, regulations, and guidance on all aspects of USAID operations which has been confusing to the users of the system for a number of years.

The initial intent of the handbooks as they are today, was to provide policy and procedure and all other publications dealing with the Agency within one location. Each handbook was developed within a functional area as a means of providing specific relative guidance.

As time progressed, so did the guidance and function of the Agency. This generated more policy, more procedures, and more overlapping between bureaus and offices. As a result, the handbooks have lost sight of the true purpose and intent of directives.

The current series has suffered much criticism in terms of its lack of clear, concise direction; poorly written, out of date information; and the sheer volume of material.

As indicated by the Administrator, the reformation on reorganization is to "give the missions, the offices and the bureaus the tools needed to do their jobs: easier access to information; clearer policy direction; and readily available technical expertise where and when it is needed."

One of the facets of the reformation is the need to improve the current directive system. What is being proposed would make the current system obsolete and make the directives system more user friendly than its predecessor.

The first step to improving the system was the conversion of the handbooks from paper to CD-ROM.

The office of Administrative Services initiated the process and worked jointly with the Office of Information Resource Management to provide the first disk containing the 33 handbooks (as is). Quarterly updates will be sent to USAID offices in Washington/Overseas providing faster access and retrievability of handbook information. Also, information can be printed in WordPerfect format for those who need it. CD-Readers were also purchased for USAID Washington offices and missions who need them until the CDs are available via USAID Local/Wide Area Network.

The next step in the process of re-engineering the Directives System was to redesign the format and the numerical coding system. Other systems were reviewed to develop a clear and user friendly format for writing directive policy and streamlining the process. We studied the Forest Service, U.S. Department of Army Directives Systems, and several examples of format structures from offices within USAID, i.e. Policy Directorate, Office of Information Resource Management, and Office of Foreign Disaster Assistance. In addition, we attended a conference on the reformation of the Directives Systems for the Federal Government.

In our review of other agencies' systems, a key point that was continuously brought up was the need to empower the employee by clearly identifying policy, responsibilities and essential procedures in order to better accomplish their duties. The official communications of the Agency should be focused and reduce traditional bureaucratic hurdles. With this in mind, we offer the following proposed options for consideration.

o PROPOSAL 1: FORMAT AND STRUCTURE**OPTION 1A****Tier 1**

USAID Policy: A Functional Directives System which contains only USAID Policy.

Tier 1**USAID POLICY**

Tier 2

USAID Essential Procedures: A Functional Directives System which contains only Essential "Mandatory" Procedures to carry out USAID Policy.

Tier 2**USAID ESSENTIAL PROCEDURES**

Tier 3

USAID Optional Guidelines: Reference material, "How To" guidance. "Optional" to give the requiring office a vehicle by which to provide more detailed, helpful instruction.

Tier 3**USAID OPTIONAL GUIDELINES**

OPTION 1A

Tier 1**USAID POLICY**

POLICY: The first tier of Option 1 proposes that USAID place all its Agencywide Policies within one publication called USAID Policy.

The **USAID Policy** document would identify and clarify the most important things the Agency does. Policy refers to clear, concise policy statements and/or direction for the Agency, rules and regulations and the overall framework of general guidelines the Agency follows as it carries out its work. Policy places accountability and responsibility, and measures the accomplishment of policy objectives.

USAID would have five major functional series: 1) Organization and Executive Management, 2) Program and Project Assistance, 3) Procurement and Contracts, 4) Personnel, and 5) Management Services. An example of this is the Table of Contents (See Attachment A).

The Policy book would state the authority, objective, responsibility, list of definitions and the policy statement(s).

USAID Policy does **not** contain detailed instructions or technical guidance. Nor does it include internal policy for bureaus/ missions or offices.

RESPONSIBILITY: To ensure that the information in the Policy book is accurate, the author office head would authorize each Policy and be held responsible for the annual certification of their section within the Policy book.

Within the Administrator section, it would clearly state who has the authority to write Agencywide policy. The administrator may designate the bureau heads as the ones to define the policy and/or allow the heads to designate someone within their bureaus. For some policies, the authority may originate from the Congress, FARs, FAMS, AIDAR or FIRMR. Besides the administrator, the only other offices that would be included in the Administrator section are Handbook 5 - Delegation of Authority (GC) and Handbook 17 - AID Organization (FM/B).

AUDIENCE: Again, this "Policy book" would contain only agencywide policy not internal mission/bureau or office policy. The intended audience is presumed to be executive level staff and external agencies.

CROSS-REFERENCE: In order to reduce the amount of redundancy within directives we propose the use of cross-referencing. We suggest that if a policy resides in the FAR, FAM, FIRMR or any other outside source, then refer the user to that particular publication and section. Use of CD-ROM to include all necessary publications would assist in this cross-reference and would cut down the size of the directives drastically.

OPTION 1A

Tier 2**USAID ESSENTIAL PROCEDURES**

USAID Essential Procedures publication would contain "mandatory" procedures that support specific Agencywide policies. This would allow streamlining administrative processes and empowering employees with authority to do their jobs.

Essential Procedures would be written by the author offices in cooperation with the field.

Essential Procedures are NOT internal procedures for bureaus/missions or offices.

RESPONSIBILITY: To ensure that the information in the Essential Procedures book is accurate, the author office head would sign off on each Essential Procedure and be held responsible for the annual certification of their section within the book.

The procedures refer to and support specific policies in the Policy book. Essential Procedures are mandatory procedures put forth by the author offices. These procedures go into detail on what must be completed and how to comply with the policy they support. Of the three tiers, Essential Procedures would more than likely be used the most. The intended users are presumed to be site managers, office managers, mission employees, office staff, contractors, and other external users.

AUDIENCE: Again, this publication would contain only "mandatory" procedures that support specific Agencywide policies. The intended audience is presumed to be every USAID employee.

CROSS-REFERENCE: In order to reduce the amount of redundancy within directives we propose the use of cross-referencing. We suggest that if certain essential procedures reside in the FAR, FAM, FIRMR or any other outside source, then refer the user to that particular publication and section. Use of CD-ROM to include all necessary publications would assist in this cross-reference and would cut down the size of the directives drastically.

OPTION 1A

Tier 3

USAID OPTIONAL GUIDELINES

Optional Guidelines: These reference "How To" guides are not required and not encouraged. These guidebooks are offered only as reference resources to assist the user in understanding in greater detail of the Essential Procedures. The guidebooks would assist the user in having a clearer understanding of the essential procedures and forms.

Not every office may need or desire to create guidelines. If one is created by an author office it must be an Agencywide guidebook. It would be included on the CD and appropriately cross-referenced when necessary.

Optional Guidelines would offer helpful suggestions i.e. in filling out forms, putting together a proposal paper or program paper. All information in these reference guides are Agencywide guidelines. If an author office feels it would be beneficial to have a guidebook then it is up to them to develop the book. The guidebooks would then be included on the CDs.

OPTION 1B**Tier 1**

USAID Policy and Essential Procedures: A Functional Directives System which contains USAID Policy and Essential "Mandatory" Procedures to carry out USAID Policy.

Tier 1

**USAID POLICY AND ESSENTIAL
PROCEDURES**

Tier 2

USAID Optional Guidelines: Reference material, "How To" guidance.

Tier 2

**USAID OPTIONAL
GUIDELINES**

OPTION 1B

Tier 1**USAID POLICY AND ESSENTIAL
PROCEDURES**

USAID Policy and Essential Procedures: These books would consist of Agencywide policies and procedures.

Policy refers to statements of policy and/or direction for the Agency, rules and regulations and the overall framework of general guidelines the Agency follows as it carries out its work.

Policies are **NOT** detailed instructions or technical guidance. Nor does it include internal policy for bureaus/missions or offices.

Essential Procedures refer to and support the policies in the Policy and Essential Procedures book. Essential Procedures are mandatory procedures put forth by the author offices. These procedures go into detail on what mandatory procedures must be completed and how to comply with policy. They are **NOT** inner office procedures. This book does not include internal policy or procedures for bureaus, missions or offices.

RESPONSIBILITY: To ensure that the information in the Policy and Essential Procedures book is accurate, the author office head would authorize each Policy and Essential Procedure and be held responsible for the annual certification of their section within the Policy book.

The books will state the authority, objective, responsibility, list of definitions, policy statement, and essential procedures.

Within the Administrator section of the Policy and Essential Procedures book it would clearly state who has the authority to write agencywide policy and procedures. The administrator may designate the bureau/mission or office heads as the ones to write policy and procedures and/or be able to designate someone within their bureau/mission or office.

AUDIENCE: The intended audience for this book is presumed to be every USAID employee and all other users outside USAID.

CROSS-REFERENCE: In order to reduce the amount of redundancy within directives we propose the use of cross-referencing. We suggest that if certain essential procedures reside in the FAR, FAM, FIRMR or any other outside source, then refer the user to that particular publication and section. Use of CD-ROM to include all necessary publications would assist in this cross-reference and would cut down the size of the directives drastically.

OPTION 1B

Tier 2**USAID OPTIONAL
GUIDELINES**

Optional Guidelines: These reference "How To" guides are not required or encouraged. These guidebooks are offered only as a reference resources to assist the user in understanding in greater detail the Essential Procedures. The guidebooks would assist the user in having a clearer understanding of the essential procedures and forms.

Not every office may need or desire to create guidelines. If one is created by an author office it must be an Agencywide guidebook. It would be included on the CD and appropriately cross-referenced when necessary.

Optional Guidelines would offer helpful suggestions i.e. in filling out forms, putting together a proposal paper or program paper. All information in these reference guides are Agencywide guidelines. If an author office feels it would be beneficial to have a guidebook then it is up to them to develop the book. The guidebooks would then be included on the CDs.

To ensure that the information in the Guidebooks are accurate, the author office head will be held responsible for the annual certification of their section.

OPTION 1C**Tier 1****USAID Policy:**

A Functional Directives System which contains only USAID Policy.

Tier 1**USAID POLICY**

Tier 2

USAID Essential Procedures and Guidelines: A Functional Directives System which contains USAID Essential "Mandatory" Procedures to carry out USAID Policy and offer more detail guidance, "How To" on the essential procedures.

Tier 2**ESSENTIAL PROCEDURES
and GUIDELINES**

OPTION 1C

Tier 1**USAID POLICY**

POLICY: The first tier of Option 1C proposes that USAID place all its Agencywide Policies within one publication called USAID Policy.

The **USAID Policy** document would identify and clarify the most important things the Agency does. Policy refers to clear, concise policy statements and/or direction for the Agency, rules and regulations and the overall framework of general guidelines the Agency follows as it carries out its work. Policy places accountability and responsibility, and measures the accomplishment of policy objectives.

The Policy book would state the authority, objective, responsibility, list of definitions and the policy statement(s).

USAID would have five major functional series: 1) Organization and Executive Management, 2) Program and Project Assistance, 3) Procurement and Contracts, 4) Personnel, and 5) Management Services. An example of this is the Table of Contents (See Attachment A).

USAID Policy does not contain detailed instructions or technical guidance. Nor does it include internal policy for bureaus/ missions or offices.

RESPONSIBILITY: To ensure that the information in the Policy book is accurate, the author office head would sign off on each Policy and be held responsible for the annual certification of their section within the Policy book.

Within the Administrator section, it would clearly state who has the authority to write Agencywide policy. The administrator may designate the bureau heads as the ones to define the policy and/or allow the heads to designate someone within their bureaus. For some policies, the authority may originate from the Congress, FARs, FAMs, AIDARs or FIRMR. Besides the Administrator, the only other offices that would be included in the Administrator section are Handbook 5 - Delegation of Authority (GC) and Handbook 17 -AID Organization (FM/B).

AUDIENCE: Again, this "Policy book" would contain only agencywide policy not internal mission/bureau or office policy. The intended audience is presumed to be executive level staff and auditors for USAID.

CROSS-REFERENCE: In order to reduce the amount of redundancy within directives we propose the use of cross-referencing. We suggest that if a policy resides in the FAR, FAM, FIRMR or any other outside source, then refer the user to that particular publication and section. Use of CD-ROM to include all necessary publications would assist in this cross-reference and would cut down the size of the directives drastically.

OPTION 1C

Tier 2**ESSENTIAL PROCEDURES
and GUIDELINES**

USAID Essential Procedures and Guidelines publication would contain only mandatory procedures and guidelines which support specific Agencywide policies in the Policy publication.

Essential Procedures and Guidelines are detailed mandatory procedures of what must be completed, and how, in order to comply with the policy they support.

Essential Procedures and Guidelines would be written by the author offices in cooperation with the field.

Essential Procedures and Guidelines are NOT internal procedures for bureaus/missions or offices.

RESPONSIBILITY: To ensure that the information in this book is accurate, the author office head would authorize each Essential Procedure and guideline and be held responsible for the annual certification of their section within the book.

AUDIENCE: Essential Procedures and Guidelines would more than likely be used the most of the two tiers. The intended users are presumed to be site managers, office managers, workers in the field, office staff, and contractors.

In order to reduce the amount of redundancy within directives we propose the use of cross-referencing. We suggest that if certain essential procedures reside in the FAR, FAM, FIRMR or any other outside source, then refer the user to that particular publication and section.

The procedures would be written in a "how to" manner to assist the user in understanding in greater detail the Essential Procedures.

Guidelines would be offered i.e. in filling out forms, putting together a proposal paper or program paper, etc.

CROSS-REFERENCE: In order to reduce the amount of redundancy within directives we propose the use of cross-referencing. We suggest that if a policy resides in the FAR, FAM, FIRMR or any other outside source, then refer the user to that particular publication and section. Use of CD-ROM to include all necessary publications would assist in this cross-reference and would cut down the size of the directives drastically.

o PROPOSAL 2: NUMERIC CODING

All Policy, Essential Procedures, and Guidelines would be connected by a new numeric series based on functional areas. The current system functional breakdown is listed in Attachment B of this document.

We are proposing that within each "book" a **Functional Tab** would exist for each of the five major functions:

1. **Organization and Executive Management**
2. **Program and Project Assistance**
3. **Procurement and Contracts**
4. **Personnel**
5. **Management Services**

Within the five major functions, there would be a **Sub-Function Title** for the Policy or Essential Procedure being addressed i.e Housing Programs, Grants, Printing and Graphics, or Overseas Support to name just a few.

As a standard, author offices will be responsible for stating the Authority, Objective, Responsibility, and Definitions prior to stating the Policy or Essential Procedure. These headers will always be listed right after the Sub-function tab. Each Sub-Function title carries its own numeric code. This code will be consistent throughout all the proposed options.

The following codes apply to the following Sub-Function titles:

1. **Authority**
2. **Objective**
3. **Responsibility**
4. **Definitions**
5. **Policy or Required Procedure**

An example of the numeric coding with these Function and Sub-function headings is as follows:

Example:

USAID Policy Publication

Function Code (Org. and Ex. Mgt.)	
Sub-Function Code (Authority)	
Policy Section Header	
Policy Title	
Policy #	
2.1.5.1-1	

Essential Procedures

Function Code (Org. and Ex. Mgt.)	
Sub-Function Code (Authority)	
Essential Procedures	
Subject Title	
Chapter #	
Sub-Paragraph in Chapter	
0.1.1.5.1-1.1	

o PROPOSAL 2

OPTION 2A: NUMERIC CODING I

In this example the Policy and Essential Procedures would be arranged as follows:

NUMERIC CODING I			
OPTION 2A			
The Policies would be arranged as follows:		The Essential Procedures Series would be arranged as follows:	
1	Major Function Title	0.1	Major Function Title
1.1	Sub-Function	0.1.1	Sub-Function
1.1.1	Authority	0.1.1.1	Authority
1.1.2	Objective	0.1.1.2	Objective
1.1.3	Responsibility	0.1.1.3	Responsibilities
1.1.4	Definitions	0.1.1.4	Definitions
1.1.5	Policy Section (Heading)	0.1.1.5	Essential Procedures
1.1.5.1	Policy Title	0.1.1.5.1	Subject Title
1.1.5.1-1	Policy # 1	0.1.1.5.1-1	Chapter 1
1.1.5.1-2	Policy # 2	0.1.1.5.1-2	Chapter 2
		0.1.1.5.1-2.1	Sub-paragraph in Chapter 2
		0.1.1.5.1-2.2	Sub-paragraph 2 in Chapter 2

Essential Procedures may pertain to one or several policies. The author office would be responsible for stating in their opening paragraph which policies the essential procedures are for i.e. Chapter 0.2.1.4.1-1 refers to Policies 2.1.5-1 through 2.1.5-8.

The **Optional Guidelines** would be arranged as follows:

Major Function Title	G2
Sub-function	G2.1
Optional Guidelines	G2.1.1
Sub-Paragraph within the Guideline	G2.1.1-1

Optional Guidelines may pertain to one or several Essential Procedures. Therefore, it is up to the author office to state in their opening paragraph which Chapters of the Essential Procedures book this guideline refers to.

OPTION 2B: NUMERIC CODING II

In this example the Policy and Essential Procedures would be arranged as follows:

NUMERIC CODING II			
OPTION 2B			
The Policies would be arranged as follows:		The Essential Procedures Series would be arranged as follows:	
100	Major Function Title	E100	Major Function Title
101	Sub-Function	E101	Sub-Function
101.1	Authority	E101.1	Authority
101.2	Objective	E101.2	Objective
101.3	Responsibility	E101.3	Responsibilities
101.4	Definitions	E101.4	Definitions
101.5	Policy Section (Heading)	E101.5	Essential Procedures
101.5.1	Policy Title	E101.5.1	Subject Title
101.5.1-1	Policy # 1	E101.5.1-1	Chapter 1
101.5.1-2	Policy # 2	E101.5.1-2	Chapter 2
		E101.5.1-2.1	Sub-paragraph in Chapter 2
		E101.5.1-2.2	Sub-paragraph 2 in Chapter 2
		E101.5.1-2.3	Sub-paragraph 3 in Chapter 2

Essential Procedures may pertain to one or several policies. The author office would be responsible for stating in their opening paragraph which policies the essential procedures are for i.e. Chapter E101.5.1-1 refers to Policies 101.5.1-1 through 101.5.1-8.

The **Optional Guidelines** would be arranged as follows:

Major Function Title	G100
Sub-function	G101.1
Optional Guidelines	G101.1.1
Sub-Paragraph within the Guideline	G101.1.1-1

Optional Guidelines may pertain to one or several Essential Procedures. Therefore, it is up to the author office to state in their opening paragraph which Chapters of the Essential Procedures book this guideline refers to.

CD-ROM CONVERSION:

The first step to improving the system was the conversion of handbooks from paper to CD-ROM. This involved converting 10,000 pages of text and 2,000 pages of graphic material (approximately 700 files of information) into one CD-ROM disk.

The office of Administrative Services initiated the process and worked jointly with the Office of Information Resource Management to provide the first disk containing the 33 handbooks (as is). Quarterly updates will be sent to USAID offices in Washington/Overseas providing faster access and retrievability of handbook information. Also, information can be printed in WordPerfect format for those who need it. CD-Readers were also purchased for USAID Washington offices and missions who need them until the CDs are available via USAID Local/Wide Area Network.

The CD-ROM will be the medium used to compliment the handbooks when cross-referencing non-Agency publications such as, the FAR, the FIRMR, and the FAMs. We envision a series of reference CDs for the Agency. Hardcopy of the handbooks will be discontinued after April of 1994.

CONCLUSION:

The goal of RE-ENGINEERING the DIRECTIVES SYSTEM is three-fold, to reduce the complexity of finding information quickly, to reduce the volume of directives, and to make the information more accurate, clear, and concise. We realize USAID policies are currently immersed within a system of procedures of which most USAID employees only see a fraction. By dividing policy from procedures multiply audiences will be better served. The executive level of USAID and other users will find they more frequently use the USAID Policy publication. USAID employees assigned operational duties will find they more widely use the USAID Procedural publication. Both documents will provide the information and assistance that both audiences seek.

We discovered in researching various directive systems that the chief complaint about their numeric coding systems were that they ran out of numbers! We believe that will not happen with Option 2B.

We believe Option 1A would meet the goal of giving agency employees a standardized tool to do their jobs through easier access to information; clearer policy direction; and readily available technical expertise.

ATTACHMENT A-1

USAID POLICIES
(Numeric Option 2A)
TABLE OF CONTENTS

- 1 ORGANIZATION AND EXECUTIVE MANAGEMENT (Hbs 5 & 17)
 - 1.1 Administrator USAID Policies
 - 1.1.1 Authority
 - 1.1.2 Objective
 - 1.1.3 Responsibilities
 - 1.1.4 Definitions
 - 1.1.5 Policy Section
 - 1.2 Delegations of Authority and Organizational Structure
 - 1.2.1 Authority
 - 1.2.2 Objective
 - 1.2.3 Responsibilities
 - 1.2.4 Definitions
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 - 1.2.5.12 Bureau for Management (M)
 - 1.2.5.13 Bureau for Program and Policy Coordination (PPC)
 - 1.2.5.14 Bureau for Legislative and Public Affairs (LPA)
 - 1.2.5.15 Office of Equal Opportunity Programs (EOP)
 - 1.2.5.16 Office of General Counsel (GC)
 - 1.2.5.17 Office of Small Disadvantaged Business Utilization/Minority Resource Center (OSDBU/MRC)
 - 1.2.5.18 Office of the Inspector General (IG)
 - 1.2.5.19 Office of International Training (OIT)
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(As of August 1992)

1	Policy -	POL	
1B	Procurement Policies	FA/PPE	
2	Program Planning and Budgeting	FA/B	
3	Project Assistance	POL	
4	Nonproject Assistance	POL	FA/PPE, GC
	<u>SPECIAL PROGRAMS</u>		
7	Housing Guaranties	PRE/H	
8	Foreign Disaster Assistance	FHA/OFDA	
9	Food for Peace, Title II	FHA/FFP	
	<u>IMPLEMENTATION</u>		
10	Participant Training	R&D/OIT	
11	Country Contracting	FA/PPE	
12	Use of Federal Agencies	FA/PPE	
13	Grants	FA/PPE	
14	Procurement Regulations	FA/PPE	
15	AID-Financed Commodities	FA/PPE	
16	Excess Property	FA/PPE	
	<u>MANAGEMENT</u>		
17	AID Organization	FM/B	
18	Information Services	FA/AS/ISS	FA/AS/ISS: Part I - Directives LEG: Part II - Info. to Congress (B. Cook) OPA: Part III - Info. to the Public (J. Harper) POL/CDIE: Part IV - Sources of Info; App

C and E (M. Brown)
 FA/IRM: Part V -
 Info. Tech. App A
 (AS/ISS/RM, B.
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 (FA/IRM, R. DiCurcio)

19	Financial Management	FA/FM
5	Delegations of Authority	GC
6	Security	IG/SEC
20	Office Services	FA/AS
21-I	Communications Management	FA/AS
21-II	Records Management	FA/AS/ISS/RM
22	Travel and Transportation	FA/AS/TT
23	Overseas Support	FA/OM

ES:Sup A
 (F. Rogers)

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24	General Personnel Policy	FA/HRDM/PPM/PP	EOP: Chap. 2 Equal Opportunity Program - Pendarvis HRDM/LER: Chap. 6 Labor-Management Relations (Mackenzie)
25	Employment and Promotion	FA/HRDM/PPM/PP	FA/B/SB Chap. 23 - Workforce Resource Allocations and Employment Control - (M. Rarick)
26	Position Classification, Pay, and Allowances and Allowances	FA/HRDM/PPM/PP	FM/FPS: Chap. 6 Schedule of Pay Periods; and Chap. 7 - Salary Allotments and Deductions - (Kramer)
27	Attendance and Leave	FA/HRDM/PPM/PP	
28	Training and Staff Development	FA/HRDM/PPM/PP	
29	Employee Relations & Benefits	FA/HRDM/PPM/PP	
30	Separations & Disciplinary Actions	FA/HRDM/PPM/PP	

31	Reserved	FA/HRDM/PPM/PP
32	Personnel Actions, Records, & Reports	FA/HRDM/PPM/PP
33	Overseas Position Management	FA/HRDM/PPM/PP